

Docket No.: 62225-160

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Syed K. QURAISHI, et al.

Serial No.: 09/827,333

Filed: April 06, 2001

Group Art Unit: 2163

Examiner: not assigned

For: RULES ENGINE HAVING USER ACTIVATED RULES OF SELECTABLE SCOPE AND SELECTABLE OUTCOMES

THE COMMISSIONER FOR PATENTS AND TRADEMARKS  
Washington, DC 20231

Dear Sir:

Transmitted herewith is an Preliminary Amendment in the above identified application.

- ☐ No additional fee is required.  
☐ Applicant is entitled to small entity status under 37 CFR 1.27  
☐ Also attached:

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GROUP 3600

The fee has been calculated as shown below:

	NO. OF CLAIMS	HIGHEST PREVIOUSLY PAID FOR	EXTRA CLAIMS	RATE	FEE
Total Claims	28	26	2	\$18.00 =	\$36.00
Independent Claims	8	6	2	\$84.00 =	\$168.00
Multiple claims newly presented					\$0.00
Fee for extension of time					\$0.00
Total of Above Calculations					\$204.00

- ☒ Please charge my Deposit Account No. 500417 in the amount of \$204.00. An additional copy of this transmittal sheet is submitted herewith.
- ☒ The Commissioner is hereby authorized to charge payment of any fees associated with this communication or credit any overpayment, to Deposit Account No. 500417, including any filing fees under 37 CFR 1.16 for presentation of extra claims and any patent application processing fees under 37 CFR 1.17.

Respectfully submitted,

MCDERMOTT, WILL & EMERY

*Keith E. George*  
Keith E. George  
Registration No. 34,111

600 13<sup>th</sup> Street, N.W.  
Washington, DC 20005-3096  
(202) 756-8000 KEG:apr  
Facsimile: (202) 756-8087  
Date: January 22, 2003

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~~02 FC:1201 -168.00 CH~~



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PRELIMINARY AMENDMENT

Commissioner for Patents  
Washington, DC 20231

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GROUP 3600

Sir:

Prior to examination of the above-identified application, please amend the specification  
as follows:

IN THE CLAIMS:

Please add new claims 27 and 28 as follows:

27. (New) A rules engine comprising:

- a. an input circuit for receiving at least one transaction; and
- b. a storage medium having at least one rule relating to identification of compliance

violations related to a transaction, the at least one rule triggering an action for managing risk.

28. (New) Apparatus comprising:

- a. a client process for generating and sending a transaction containing an order for  
execution;

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02 FC:1201 168.00 CH